



*Receipt 4*  
PATENT  
Attorney Docket No. 104196.129

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Pelland et al.

Examiner: Unknown

Serial No.: 09/847,855

Group Art Unit: 2166

Filed: May 2, 2001

For: AN ELECTRONIC PERSONAL ASSISTANT WITH PERSONALITY  
ADAPTATION

Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

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**CERTIFICATE OF MAILING UNDER 37 CFR 1.8(a)**

I hereby certify that this correspondence is being deposited with the United States Postal Service  
First Class Mail in an envelope addressed to Commissioner for Patents, Washington, D.C. 20231,  
Box Assignments.

August 28, 2001

Date

*Paul Z. Speidel*

Name

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**REQUEST FOR CORRECTION OF FILING RECEIPT**

Attached is a copy of the Official Filing Receipt for the above-identified patent application. The Filing Receipt incorrectly identifies the title and the attorney docket number. The correct information is as follows:

Title: An Electronic Personal Assistant with Personality  
Adaptation

Attorney Docket No.: 104196.129

The Attached Filing Receipt shows the corrections marked in red ink for your convenience.

It is applicant's belief that no fee is due for correction of this error. If, however, a fee is required, please charge the appropriate fee to Deposit Account No. 08-0219.

Respectfully submitted,

Dated: August 26, 2001

Robert McIsaac  
Robert McIsaac, Ph.D.  
Registration No. 46,918

Hale and Dorr LLP  
60 State Street  
Boston, Massachusetts 02109  
Tele: (617) 526-6000  
Fax: (617) 526-5000



UNITED STATES PATENT AND TRADEMARK OFFICE

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AUG 30 2001  
PATENT AND TRADEMARK OFFICE  
U.S. GOVERNMENT

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/847,855	05/02/2001	2166	0.00	-06348- 011001 MALE AND DORR LLP 104196-129	10	18	3

CONFIRMATION NO. 9193

GARY WALPERT  
Hale & Dorr  
60 State Street  
Boston, MA 02109

JUL 02 2001

FILING RECEIPT



\*OC000000006238557\*

DOCKET  
DEPT.  
INTELLECTUAL PROPERTY  
DEPARTMENT

Date Mailed: 06/28/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

David M. Pelland, Residence Not Provided;  
Ruth Y. Pollock, Residence Not Provided;  
Eugenia S. Gillan, Residence Not Provided;

**Domestic Priority data as claimed by applicant**

THIS APPLN CLAIMS BENEFIT OF 60/230,296 09/01/2000 ✓

**Foreign Applications**

If Required, Foreign Filing License Granted 06/28/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

**Title**

An Electronic personal assistant with personality adaptation



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PATENT - Attorney Docket No. 104196.129

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: David M. Pelland, et al.

Serial No.: 09/847,855

Examiner: Not Assigned

Filed: May 2, 2001

Group Art Unit: 2166

For: AN ELECTRONIC PERSONAL ASSISTANT WITH PERSONALITY  
ADAPTATION

Box Missing Parts

Assistant Commissioner for Patents  
Washington, D.C. 20231

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**CERTIFICATE OF FIRST CLASS MAILING UNDER 37 CFR §1.8(a)**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Box Missing Parts, Assistant Commissioner for Patents, Washington, DC 20231 on the date indicated below.

Date: August 28, 2001

*Paul L. Speidel*  
Paul L. Speidel

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**RESPONSE TO NOTICE TO FILE MISSING PARTS OF  
NONPROVISIONAL APPLICATION  
(FILING DATE GRANTED)**

Sir:

In response to the Notice to File Missing Parts of Nonprovisional Application (Filing Date Granted) mailed June 28, 2001, enclosed for filing in the above-identified patent application are the following documents:

1. Executed Declaration and Power of Attorney; and
2. Part 2 Copy of the Notice To File Missing Parts Of Nonprovisional Application

Also enclosed is a self-addressed, postage prepaid postcard. Please date stamp the postcard indicating timely receipt by the Patent Office of the subject document, and return it to us for our files.

The Commissioner is hereby authorized to charge **\$840** to Deposit Account No. **08-0219** for the following fees:

1. The statutory basic filing fee in the amount of **\$710**; and
2. The appropriate surcharge for late filing of the fee and declaration for a large entity in the amount of **\$130**.

Please charge any fee deficiency or credit any overpayment in connection with this matter to Deposit Account No. 08-0219.

Respectfully submitted,

Dated: August 28, 2001

Robert McIsaac  
Robert McIsaac, Ph.D.  
Registration No. 46,918  
Attorney for Applicants

Hale and Dorr LLP  
60 State Street  
Boston, Massachusetts 02109  
(617) 526-6000 (Telephone)  
(617) 526-5000 (Facsimile)



Please type a plus sign (+) inside this box →

Approved for use through 09/30/2000. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
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PTO/SB/21 (6-98)

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

16

Application Number

09/847,855

Filing Date

May 2, 2001

First Named Inventor

David M. Pelland

Group Art Unit

2166

Examiner Name

Unassigned

Attorney Docket Number

104196.129

## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below)
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Postcard
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application	<input type="checkbox"/> Remarks	
<input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		1) Combined Declaration and Power of Attorney 2) Copy 2 of Notice to File Missing Parts 2) Request for Corrected Filing Receipt

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Hale and Dorr LLP, 60 State Street, Boston, MA 02109
Signature	<i>Paul L. Speidel Reg. No. 46,918</i>
Date	August 28, 2001

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

Typed or printed name	Paul L. Speidel
Signature	<i>Paul L. Speidel</i>
Date	8/28/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

AUG 30 2001

PTO/SB/17 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 840.00)

## Complete if Known

Application Number	09/847,855
Filing Date	May 2, 2001
First Named Inventor	David M. Pelland
Examiner Name	Not Yet Assigned
Group Art Unit	2166
Attorney Docket No.	104196.129

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 08-0219

Deposit Account Name Hale and Dorr LLP

 Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 Applicant claims small entity status. See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	710
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$ 710)

## 2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
			-20** =	X =	=
			- 3** =	X =	=

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify) _____					

\*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ 130)

## SUBMITTED BY

## Complete (if applicable)

Name (Print/Type)	Robert McIsaac	Registration No. (Attorney/Agent)	46,918	Telephone	617-526-6000
Signature	<i>Robert McIsaac</i>			Date	August 28, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



AUG 30 2001

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UNITED STATES

UNITED STATES PATENT AND TRADEMARK OFFICE

 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/847,855	05/02/2001	David M. Pelland	06318-011001

GARY WALPERT  
 Hale & Dorr  
 60 State Street  
 Boston, MA 02109

HALE AND DORR

JUL 02 2001

PATENT

CONFIRMATION NO. 9193

FORMALITIES LETTER



\*OC000000006238558\*

Date Mailed: 06/28/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

## FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 840.**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09/04/2001	HND001	00000002	080219	09847855
01	FC:101	710.00	CH	
02	FC:105	130.00		